IAPD Report

DAVID SCOTT MIROLLI

CRD# 5116067

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

DAVID SCOTT MIROLLI (CRD# 5116067)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	APOLLON WEALTH MANAGEMENT, LLC	CRD# 291902	05/18/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CATALYST WEALTH MANAGEMENT	291138	ATLANTA, GA	05/03/2018 - 12/13/2023
B	KALOS CAPITAL, INC.	44337	Atlanta, GA	11/05/2015 - 10/03/2022
IA	KALOS MANAGEMENT	133025	Atlanta, GA	12/16/2015 - 07/11/2018

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**APOLLON WEALTH MANAGEMENT, LLC**
Main Address:	111 COLEMAN BLVD SUITE 402 MOUNT PLEASANT, SC 29464
Firm ID#:	291902

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	05/18/2023

Branch Office Locations

APOLLON WEALTH MANAGEMENT, LLC
3344 Peachtree Road NE, Suite 2600
Atlanta, GA 30326

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/04/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/18/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/03/2018 - 12/13/2023	CATALYST WEALTH MANAGEMENT	CRD# 291138	ATLANTA, GA
B	11/05/2015 - 10/03/2022	KALOS CAPITAL, INC.	CRD# 44337	Atlanta, GA
IA	12/16/2015 - 07/11/2018	KALOS MANAGEMENT	CRD# 133025	Atlanta, GA
IA	01/23/2012 - 12/31/2015	TRIAD ADVISORS, INC.	CRD# 25803	Atlanta, GA
B	01/23/2012 - 11/06/2015	TRIAD ADVISORS, INC.	CRD# 25803	SUWANEE, GA
IA	05/05/2006 - 01/23/2012	PARK AVENUE SECURITIES LLC	CRD# 46173	ATLANTA, GA
B	04/05/2006 - 01/23/2012	PARK AVENUE SECURITIES LLC	CRD# 46173	ATLANTA, GA
IA	07/14/2006 - 12/31/2010	PEACHTREE PLANNING ADVISORS, INC.	CRD# 112787	ATLANTA, GA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	APOLLON WEALTH MANAGEMENT	ADVISOR	Y	ATLANTA, GA, United States
11/2013 - Present	DELTA AIR LINES	PILOT	N	ATLANTA, GA, United States
03/2015 - 12/2023	CATALYST WEALTH MANAGEMENT, LLC	MANAGING DIRECTOR / ADVISOR	Y	ATLANTA, GA, United States
11/2015 - 10/2022	KALOS CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
12/2015 - 07/2018	KALOS MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALPHARETTA, GA, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

SOUTH EAST PRIVATE CLIENT GROUP LLC; NON-INVESTMENT RELATED; ATLANTA, GA; PENSION RELATED SERVICES PRESIDENT-FOUNDER; 2012; 5 HRS/MONTH; 0 HRS DURING TRADING; PENSION RELATED SERVICES. ||
DELTA AIRLINES PILOT; NON-INVESTMENT RELATED; HARTSFIELD-JACKSON AIRPORT, ATLANTA, GA; PILOT; PILOT, FIRST OFFICER; 11/11/2013; 30 HRS/MONTH; 5 HR DURING TRADING; FLY SCHEDULED AIRLINE ROUTES OUT OF ATLANTA DURING THE WEEKENDS. ||
APOLLON WEALTH MANAGEMENT; MANAGING DIRECTOR / WEALTH ADVISOR; INVESTMENT RELATED; 5400 LAUREL SPRINGS PARKWAY, SUITE 203,SUWANEE,GA 30024; SEC-REGISTERED INVESTMENT ADVISER; 160 HRS/MONTH; 40 HRS DURING TRADING; ACT AS AN INVESTMENT ADVISER REPRESENTATIVE. ||
ADVISORS EXCEL; POSITION: AGENT; NATURE: INSURANCE; INVESTMENT RELATED; NUMBER OF HOURS: 4; SECURITIES TRADING HOURS: 4; START DATE: 04/24/2017; ADDRESS: 2950 SW MCLURE RD, TOPEKA, KS 66614; DESCRIPTION: CLIENT INSURANCE APPLICATIONS. ||
CHESTATEE LANDING LEASING LLC; BUYING AND LEASING CONSTRUCTION EQUIPMENT; CO PRESIDENT; 9/8/2023; 10 HOURS PER MONTH, NONE DURING MARKET HOURS, RENTAL INCOME IN EXCESS OF LOAN PAYMENT AND EQUIMENT EXPENSES
Mirolli Family Investments LLLP | President; Holding Company for managing revenue and expenses of the Partnership. The Partnership may own, acquire, manage, develop, operate, sell, exchange, finance, refinance, lease and otherwise deal with real estate, personal property and any type of business as the General Partner may from time to time deem to be in the best interest of the Partnership
Mirolli Family Management LLC | President; Holding Company for managing revenue and expenses of the business of the Company. The Company is to hold, operate, lease, improve, manage, develop, sell and/or dispose of land in Idaho or any other place where Managers deem it appropriate, as well as any other activities permitted under Idaho law.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Catalyst Wealth Management, LLC
Allegations:	After hiring Catalyst Wealth Management for discretionary investment management, customer alleged advisor executed purchases for the management of his assets too quickly.
Product Type:	Other: Discretionary Managed Account
Alleged Damages:	$42,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/21/2023
Complaint Pending?	No
Status:	Denied
Status Date:	09/29/2023
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	Catalyst Wealth Management, LLC (Catalyst) vehemently denies any wrongdoing. Customer hired Catalyst as a discretionary investment manager. The customer's account was invested in a mix of cash, bonds and equities, with purchases over a period of 8-9 weeks, all done according to customer's investment objectives and personalized risk tolerance. Customer stated he did not have issue with the individual stocks and bonds purchased in the account, but simply believed the purchases occurred in a more rapid pace than he preferred, which wasn't expressed to the advisor prior to implementation of the advisory services.

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	TRIAD ADVISORS LLC
Allegations:	CLAIMANT ALLEGES THAT TRIAD, THROUGH THE REPRESENTATIVE, RECOMMENDED AN INVESTMENT THAT WAS NOT IN KEEPING WITH THE CLIENT'S OBJECTIVES, AND THAT THE REVIEW OF THE PRODUCT AND DISCLOSURES TO THE CLIENT WERE NOT ADEQUATE.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$70,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-02273
Filing date of arbitration/CFTC reparation or civil litigation:	09/07/2021

Customer Complaint Information

Date Complaint Received:	09/08/2021
Complaint Pending?	No
Status:	Settled
Status Date:	08/02/2022
Settlement Amount:	$43,703.97
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	KALOS CAPITAL, INC.
Allegations:	CLAIMANT ALLEGES THAT TRIAD, THROUGH THE REPRESENTATIVE, RECOMMENDED AN INVESTMENT THAT WAS NOT IN KEEPING WITH THE

	CLIENT'S OBJECTIVES, AND THAT THE REVIEW OF THE PRODUCT AND DISCLOSURES TO THE CLIENT WERE NOT ADEQUATE.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$70,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-02273
Filing date of arbitration/CFTC reparation or civil litigation:	09/07/2021

Customer Complaint Information

Date Complaint Received:	12/06/2021
Complaint Pending?	No
Status:	Settled
Status Date:	08/02/2022
Settlement Amount:	$43,703.97
Individual Contribution Amount:	$0.00

Disclosure 3 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Triad Advisors LLC and Kalos Capital Inc.
Allegations:	Multi-Claimant arbitration. Statement of Claim alleges an unsuitable investment strategy in alternative investments (including GPB) beginning at Triad and continuing at co-respondent, Kalos Capital.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$1,200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants seek approximately $1,200,000 in combined compensatory damages
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA

Docket/Case #:	20-03081
Filing date of arbitration/CFTC reparation or civil litigation:	09/09/2020

Customer Complaint Information

Date Complaint Received:	09/09/2020
Complaint Pending?	No
Status:	Settled
Status Date:	01/18/2021
Settlement Amount:	$290,617.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kalos Capital, Inc. and Triad Advisors Group
Allegations:	Claiming failure to conduct reasonable due diligence and examine the private placement company's representations and disclosures prior to recommending the investments to Claimants.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$1,200,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03081
Filing date of arbitration/CFTC reparation or civil litigation:	09/09/2020

Customer Complaint Information

Date Complaint Received:	10/01/2020
Complaint Pending?	No
Status:	Settled
Status Date:	01/18/2021
Settlement Amount:	$290,617.00
Individual Contribution Amount:	$0.00
Broker Statement	Client was solicited by a claimants' law firm due to a currently poor performing

investment to bring action against me and Kalos Capital. The claimants understood the risks, and the investment recommendations were suitable for their stated goals, objectives, and risk profiles. Kalos and I vehemently deny any and all allegations.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kalos Capital, Inc.
Allegations:	Failed to conduct reasonable due diligence and recommended an investment strategy comprised of speculative and unsuitable securities pursuant to material misrepresentations and omissions offered by GPB Capital Holdings
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$155,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/20/2020
Complaint Pending?	No
Status:	Settled
Status Date:	07/01/2020
Settlement Amount:	$55,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Client was solicited by a claimants' law firm due to a currently poor performing investment to bring action against me and Kalos Capital. The claimants understood the risks, and the investment recommendations were suitable for their stated goals, objectives, and risk profiles. Kalos Capital, Inc. determined as a business judgment that it was in the firm's best interests to resolve the dispute rather than incur the time, disruption, and legal expenses associated with a protracted arbitration proceeding. Kalos did not ask me to provide any monies to settle the claim.

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kalos Capital, Inc.
Allegations:	Did not conduct reasonable due diligence and recommended an unsuitable and high-risk investment
Product Type:	Other: Conservation Easement
Alleged Damages:	$360,570.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-01818
Date Notice/Process Served:	08/20/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/06/2022
Monetary Compensation Amount:	$200,000.00
Individual Contribution Amount:	$0.00
Broker Statement	However, Kalos Capital, Inc. determined, as a business judgment, that it was in the firm's best interests to resolve the dispute rather than incur the time, disruption, and legal expenses associated with a protracted arbitration proceeding. Kalos did not include me in settlement discussions nor did Kalos ask me to provide any monies to settle the claim.

End of Report

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